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## TRANSMITTAL FORM

*Note: This form may be used for all correspondence after initial filing*

Total Number of Pages in This Submission

Application Number	09/970,555
Filing Date	October 4, 2001
First Named Inventor	Victor F. Petrenko
Group Art Unit	3742
Examiner Name	Unknown

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JUN 20 2002  
OFFICE OF PETITIONS

4 Attorney Docket Number 392500

## ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers <i>(for an Application)</i>	<input type="checkbox"/> After Allowance Communication to Group
<input checked="" type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Response	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group <i>(Appeal Notice, Brief, Reply Brief)</i>
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) <i>(please identify below):</i>
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	1. Deficiency Payment to Correct Error In Small Entity Status - Rule 1.28
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	2. Certificate of Mailing
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	3. Return Postcard
<input type="checkbox"/> Response to Missing Parts/ Incomplete Application	Remarks	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Thomas Swenson Lathrop & Gage, L.C.
Signature	
Date	June 3, 2002

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: June 3, 2002

Typed or printed name	Carol J. Dunkel
Signature	
Date	June 3, 2002

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

COPY OF PAPERS  
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Victor F. Petrenko Attorney Docket No. 392500  
Application No.: 09/970,555 Group No.: 3742  
Filed: October 4, 2001 Examiner: Unknown

For: PREVENTION OF ICE FORMATION BY APPLYING ELECTRIC POWER TO A LIQUID WATER LAYER

Assistant Commissioner for Patents  
Washington, D.C. 20231

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JUN 20 2002  
OFFICE OF PETITIONS

DEFICIENCY PAYMENT TO CORRECT ERROR IN SMALL ENTITY STATUS

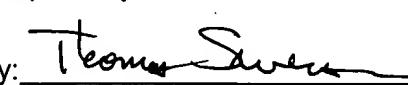
Pursuant to 37 CFR 1.28(c)(1) and (2) an itemization and payment of deficiency owed are hereby submitted. The undersigned attorney requests under § 1.28(d) that the deficiency payment be treated as a notification under § 1.27(g)(2) of the loss of entitlement to small entity status.

Fee Description	Date	Fee Paid	Corrected Fee Amount	Deficiency Due
Basic Filing Fee	10/04/01	\$355.00	\$740.00	\$385.00
Extra Claims Fees	10/04/01			
42 Total Claims		\$ 198.00	\$396.00	\$198.00
3 Independent Claims		\$ 0.00	\$ 0.00	\$ 0.00
Total Deficiency Payment Owed:				<b>\$583.00</b>

A deficiency payment in the amount of \$583.00 is enclosed. If any additional amount is due, please charge Deposit Account No. 12-0600.

Adjustment date: 06/20/2002 AWONDAF1  
10/09/2001 EFLORES 00000044 120600 09970555  
01 FC:201 -370.00 OP

Respectfully submitted,

By:   
Thomas Swenson, Reg. No. 36,696  
Lathrop & Gage, L.C.  
4845 Pearl East Circle, #300  
Boulder, CO 80301  
Telephone: (303) 449-5800  
Facsimile: (303) 443-6998

Adjustment date: 06/20/2002 AWONDAF1  
10/09/2001 EFLORES 00000044 120600 09970555  
03 FC:203 15.00 CR -183.00 OP

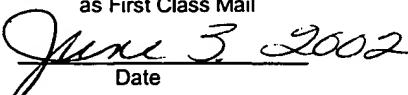
06/20/2002 AWONDAF1 00000037 09970555  
01 FC:101 740.00 OP  
02 FC:103 396.00 OP

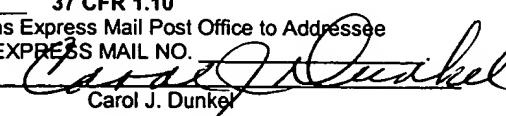
CERTIFICATE UNDER 37 C.F.R. 1.8(a) and 1.10

I hereby certify that, on the date shown below, this correspondence is being deposited with the United States Postal Service in an envelope addressed to Assistant Commissioner for Patents, Washington, D.C. 20231 with sufficient postage:

MAILING

37 CFR 1.8(a)  
as First Class Mail

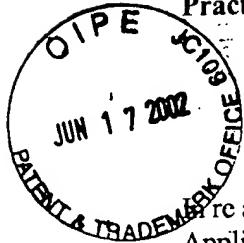
  
Date

37 CFR 1.10  
as Express Mail Post Office to Addressee  
EXPRESS MAIL NO. 

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Practitioner's Docket No. 392500

PATENT



IN THE UNITED STATES PATENT OFFICE

Re application of: Victor F. Petrenko  
Application No.: 09/970,555 Group No.: 3742  
Filed: October 4, 2001 Examiner: Unknown

For: PREVENTION OF ICE FORMATION BY APPLYING ELECTRIC POWER TO A LIQUID WATER LAYER

CERTIFICATE OF MAILING

Date of Deposit: June 3, 2002

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JUN 20 2002

OFFICE OF PETITIONS

Commissioner for Patents  
Washington, D.C. 20231

1. Transmittal Form [1 page]
2. Fee Transmittal for FY 2002 [1 page]
3. Deficiency Payment to Correct Error in Small Entity Status [1 page]
4. Check No.2572 in the amount of \$583.00 for total deficiency owed
5. Certificate of Mailing, [1 page]
6. Return Postcard [1].

are being deposited with the United States Postal Service as First Class Mail service under 37 CFR 1.8 in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231.



A handwritten signature in black ink, appearing to read "Carol J. Dunkel". Below the signature, the name "Carol J. Dunkel" is printed in a smaller, sans-serif font.

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JUN 17 2002

# FEE TRANSMITTAL for FY 2002

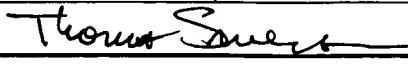
Patent fees are subject to annual revision.

<b>TOTAL AMOUNT OF PAYMENT</b>	<b>(\$)</b> 583
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Complete If Known	
Application Number	09/970,555
Filing Date	October 4, 2001
First Named Inventor	Victor F. Petrenko
Examiner Name	Unknown
Group / Art Unit	3742
Attorney Docket No.	392500

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JUN 20 2002  
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METHOD OF PAYMENT (check one)				FEE CALCULATION (continued)																																																																																																																																																																																												
1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:  Deposit Account Number <input type="text" value="12-0600"/>  Deposit Account Name <input type="text" value="Lathrop &amp; Gage, L.C."/> <input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17				3. ADDITIONAL FEES <table border="1"> <thead> <tr> <th>Large Entity Fee Code</th> <th>Fee (\$)</th> <th>Small Entity Fee Code</th> <th>Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105</td><td>130</td><td>205</td><td>65</td><td>Surcharge - late filing fee or oath</td><td><input type="text"/></td></tr> <tr><td>127</td><td>50</td><td>227</td><td>25</td><td>Surcharge - late provisional filing fee or cover sheet.</td><td><input type="text"/></td></tr> <tr><td>139</td><td>130</td><td>139</td><td>130</td><td>Non-English specification</td><td><input type="text"/></td></tr> <tr><td>147</td><td>2,520</td><td>147</td><td>2,520</td><td>For filing a request for reexamination</td><td><input type="text"/></td></tr> <tr><td>112</td><td>920*</td><td>112</td><td>920*</td><td>Requesting publication of SIR prior to Examiner action</td><td><input type="text"/></td></tr> <tr><td>113</td><td>1,840*</td><td>113</td><td>1,840*</td><td>Requesting publication of SIR after Examiner action</td><td><input type="text"/></td></tr> <tr><td>115</td><td>110</td><td>215</td><td>55</td><td>Extension for reply within first month</td><td><input type="text"/></td></tr> <tr><td>116</td><td>400</td><td>216</td><td>200</td><td>Extension for reply within second month</td><td><input type="text"/></td></tr> <tr><td>117</td><td>920</td><td>217</td><td>460</td><td>Extension for reply within third month</td><td><input type="text"/></td></tr> <tr><td>118</td><td>1,440</td><td>218</td><td>720</td><td>Extension for reply within fourth month</td><td><input type="text"/></td></tr> <tr><td>128</td><td>1,960</td><td>228</td><td>980</td><td>Extension for reply within fifth month</td><td><input type="text"/></td></tr> <tr><td>119</td><td>320</td><td>219</td><td>160</td><td>Notice of Appeal</td><td><input type="text"/></td></tr> <tr><td>120</td><td>320</td><td>220</td><td>160</td><td>Filing a brief in support of an appeal</td><td><input type="text"/></td></tr> <tr><td>121</td><td>280</td><td>221</td><td>140</td><td>Request for oral hearing</td><td><input type="text"/></td></tr> <tr><td>138</td><td>1,510</td><td>138</td><td>1,510</td><td>Petition to institute a public use proceeding</td><td><input type="text"/></td></tr> <tr><td>140</td><td>110</td><td>240</td><td>55</td><td>Petition to revive – unavoidable</td><td><input type="text"/></td></tr> <tr><td>141</td><td>1,280</td><td>241</td><td>640</td><td>Petition to revive – unintentional</td><td><input type="text"/></td></tr> <tr><td>142</td><td>1,280</td><td>242</td><td>640</td><td>Utility issue fee (or reissue)</td><td><input type="text"/></td></tr> <tr><td>143</td><td>460</td><td>243</td><td>230</td><td>Design issue fee</td><td><input type="text"/></td></tr> <tr><td>144</td><td>620</td><td>244</td><td>310</td><td>Plant issue fee</td><td><input type="text"/></td></tr> <tr><td>122</td><td>130</td><td>122</td><td>130</td><td>Petitions to the Commissioner</td><td><input type="text"/></td></tr> <tr><td>123</td><td>50</td><td>123</td><td>50</td><td>Processing fee under 37 CFR 1.17 (q)</td><td><input type="text"/></td></tr> <tr><td>126</td><td>180</td><td>126</td><td>180</td><td>Submission of Information Disclosure Stmt</td><td><input type="text"/></td></tr> <tr><td>581</td><td>40</td><td>581</td><td>40</td><td>Recording each patent assignment per property (times number of properties)</td><td><input type="text"/></td></tr> <tr><td>146</td><td>740</td><td>246</td><td>370</td><td>Filing a submission after final rejection (37 CFR § 1.129(a))</td><td><input type="text"/></td></tr> <tr><td>149</td><td>740</td><td>249</td><td>370</td><td>For each additional invention to be examined (37 CFR § 1.129(b))</td><td><input type="text"/></td></tr> <tr><td>179</td><td>740</td><td>279</td><td>370</td><td>Request for Continued Examination (RCE)</td><td><input type="text"/></td></tr> <tr><td>169</td><td>900</td><td>169</td><td>900</td><td>Request for expedited examination of a design application</td><td><input type="text"/></td></tr> <tr> <td colspan="4">Other fee (specify) <input type="text" value="Payment of total deficiency owed"/></td> <td>583.</td> </tr> <tr> <td colspan="4">         *Reduced by Basic Filing Fee Paid <input type="text" value="0"/> </td> <td colspan="2">         SUBTOTAL (3) <input type="text" value="(\$ 583)"/> </td> </tr> </tbody> </table>				Large Entity Fee Code	Fee (\$)	Small Entity Fee Code	Fee (\$)	Fee Description	Fee Paid	105	130	205	65	Surcharge - late filing fee or oath	<input type="text"/>	127	50	227	25	Surcharge - late provisional filing fee or cover sheet.	<input type="text"/>	139	130	139	130	Non-English specification	<input type="text"/>	147	2,520	147	2,520	For filing a request for reexamination	<input type="text"/>	112	920*	112	920*	Requesting publication of SIR prior to Examiner action	<input type="text"/>	113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	<input type="text"/>	115	110	215	55	Extension for reply within first month	<input type="text"/>	116	400	216	200	Extension for reply within second month	<input type="text"/>	117	920	217	460	Extension for reply within third month	<input type="text"/>	118	1,440	218	720	Extension for reply within fourth month	<input type="text"/>	128	1,960	228	980	Extension for reply within fifth month	<input type="text"/>	119	320	219	160	Notice of Appeal	<input type="text"/>	120	320	220	160	Filing a brief in support of an appeal	<input type="text"/>	121	280	221	140	Request for oral hearing	<input type="text"/>	138	1,510	138	1,510	Petition to institute a public use proceeding	<input type="text"/>	140	110	240	55	Petition to revive – unavoidable	<input type="text"/>	141	1,280	241	640	Petition to revive – unintentional	<input type="text"/>	142	1,280	242	640	Utility issue fee (or reissue)	<input type="text"/>	143	460	243	230	Design issue fee	<input type="text"/>	144	620	244	310	Plant issue fee	<input type="text"/>	122	130	122	130	Petitions to the Commissioner	<input type="text"/>	123	50	123	50	Processing fee under 37 CFR 1.17 (q)	<input type="text"/>	126	180	126	180	Submission of Information Disclosure Stmt	<input type="text"/>	581	40	581	40	Recording each patent assignment per property (times number of properties)	<input type="text"/>	146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	<input type="text"/>	149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	<input type="text"/>	179	740	279	370	Request for Continued Examination (RCE)	<input type="text"/>	169	900	169	900	Request for expedited examination of a design application	<input type="text"/>	Other fee (specify) <input type="text" value="Payment of total deficiency owed"/>				583.	*Reduced by Basic Filing Fee Paid <input type="text" value="0"/>				SUBTOTAL (3) <input type="text" value="(\$ 583)"/>	
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** or number previously paid, if greater; For Reissues, see above																																																																																																																																																																																																

SUBMITTED BY		Complete (if applicable)		
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Signature			Date June 3, 2002	

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